

PTO/SB/26 (08-03)  
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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: DiCicco-Bloom et al.Application No./Patent No.: 10/044,722Filed/Issue Date: January 11, 2002

Entitled: Pituitary Adenylate Cyclase-activating Polypeptide (PACAP) is an Anti-mitogenic Signal for Selected Neuronal Precursors In Vivo

Univ. of Medicine & Dentistry of New Jersey, a body corporate and politic of the state of New Jersey

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/22/04  
Date

DENISE MULKERN  
VICE PRESIDENT FOR FINANCE AND TREASURER

Typed or printed name

Denise Mulkern  
Signature

Telephone number

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9198 and select option 2.



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UNITED STATES  
PATENT AND  
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AUGUST 19, 2002

PTAS

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Washington, DC 20231  
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LYON & LYON, LLP  
MICHAEL J. WISE  
633 WEST FIFTH STREET, SUITE 4700  
LOS ANGELES, CA 90071-2066



\*102128457A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/11/2002

REEL/FRAME: 012993/0497  
NUMBER OF PAGES: 11

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

DICICCO-BLOOM, EMANUEL

DOC DATE: 05/20/2002

## ASSIGNOR:

ARNAUD, NICOT

DOC DATE: 05/22/2002

## ASSIGNOR:

LU, NAIRU

DOC DATE: 05/21/2002

## ASSIGNOR:

SUH, JUNGHYUP

DOC DATE: 05/20/2002

## ASSIGNEE:

UNIVERSITY OF MEDICINE & DENTISTRY  
OF NEW JERSEY  
335 GEORGE STREET, SUITE 3200  
NEW BRUNSWICK, NEW JERSEY 08901

SERIAL NUMBER: 10044722

FILING DATE: 01/11/2002

PATENT NUMBER:

ISSUE DATE:

RECEIVED

AUG 23 2002

U.S. PROSECUTION

013993/0497 PAGE 2

LENELL MACKALL, SUPERVISOR  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

Form PTO-1595 (Rev. 03/01) OMB No. 0651-0027 (exp. 5/31/2002)		RE	06-20-2002	U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office	
Tab settings → → →		102128457		JUN 11 2002	
To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.					
1. Name of conveying party(ies): Emanuel DiCicco-Bloom Nicot Amaud Nairu Lu Junghyup Suh  Additional name of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			2. Name and address of receiving party(ies)  Name: <u>University of Medicine &amp; Dentistry of New Jersey</u>  Internal Address: _____  Street Address: <u>335 George Street, Suite 3200</u>  City: <u>New Brunswick</u> State: <u>NJ</u> Zip: <u>08901</u>  Additional Name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____  Execution Date: <u>5/20/02, 5/22/02, 5/21/02 and 5/20/02</u>					
4. Application number(s) or patent number(s):  If this document is being filed together with a new application, the execution data of the application is: _____ A. Patent Application No.(s) <u>10/044,722</u>  B. Patent No.(s)  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning this document should be mailed:  Name: <u>Michael J. Wise</u>  Internal Address: _____  Street Address: <u>LYON &amp; LYON, LLP</u> <u>633 West Fifth Street, Suite 4700</u> City: <u>Los Angeles</u> State: <u>CA</u> Zip: <u>90071-2066</u>			6. Total number of applications and patents involved: <u>1</u>  7. Total fee (37 CFR 3.41) ..... \$ <u>40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account  8. Deposit account number: <u>12-2475</u>  (Attach duplicate copy of this page if paying by deposit account)		
DO NOT USE THIS SPACE					
9. Statement and signature.  To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. <u>Lauren Silger, Reg. No. 51,086</u> Name of Person Signing  <u>L. Silger</u> Signature  <u>June 5, 2002</u> Date  Total number of pages including cover sheet, attachments, and documents: <u>11</u>					

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

06/20/2002 6TOK11 00000078 122475 10044722

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PAGE 11/23 \* RCVD AT 7/7/2004 9:57:34 AM [Eastern Daylight Time] \* SVR:USPTO-EFXXRF-1/0 \* DNIS:8729306 \* CSID:856 810 1454 \* DURATION (mm-ss):06-00

Patent  
Attorney Docket: 270/175

ASSIGNMENT OF PATENT APPLICATION

WHEREAS, WE, EMANUEL DICICCO-BLOOM, a citizen of THE UNITED STATES OF AMERICA, ARNAUD NICOT, a citizen of FRANCE, NAIRU LU, a citizen of PEOPLE'S REPUBLIC OF CHINA, and ~~HUNGHYUP SUH~~ <sup>J. D. O'S.</sup> HUNGHYUP SUH, a citizen of KOREA (hereinafter referred to as "ASSIGNORS"), have invented a certain invention entitled "Pituitary adenylate cyclase-activating polypeptide (PACAP) is an anti-mitogenic signal for selected neuronal precursors *in vivo*" for which application for Letters Patent of the United States of America has been filed on January 11, 2001, assigned Serial No. 10/044,722; and

WHEREAS, UNIVERSITY OF MEDICINE AND DENTISTRY OF NEW JERSEY, a body corporate and politic of the State of NEW JERSEY and having its principal place of business at 335 George Street, Suite 3200, New Brunswick, New Jersey 08901 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and

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ASSIGNORS hereby authorize and request the United States Commissioner of Patents and Trademarks and any officials of foreign countries whose duty it is to issue patents or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at Piscataway, NEW JERSEY,  
this 20th day of May, 2002.

Emanuel D. Cicco-Bloom  
EMANUEL DICICCO-BLOOM

STATE OF NEW JERSEY )  
COUNTY OF Middlesex ) ss

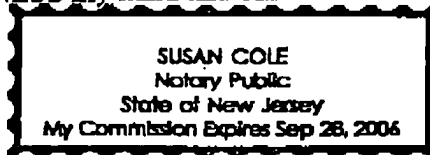
On May 20 before me, Emanuel Diciced-Bloom, personally appeared  
EMANUEL DICICCO-BLOOM

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me

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that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



Susan Cole  
Notary Public in and for said County and State

WITNESS my hand at New Brunswick, NEW JERSEY,  
this 22 day of May, 2002.

Nicot  
ARNAUD NICOT

STATE OF NEW JERSEY     )  
  ) ss  
COUNTY OF Middlesex     )

On May 22, 2002 before me, Arnaud Nicot, personally appeared  
ARNAUD NICOT

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Patricia M. Dalton, Esq.  
Notary Public in and for said County and State  
Attorney at Law, State of New Jersey



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Attorney Docket: 270/175

WITNESS my hand at \_\_\_\_\_, NEW JERSEY,  
this \_\_\_\_\_ day of \_\_\_\_\_, 2002.

\_\_\_\_\_  
NAIRU LU

STATE OF NEW JERSEY )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On \_\_\_\_\_ before me, \_\_\_\_\_, personally appeared  
NAIRU LU

☐ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Public in and for said County and State

WITNESS my hand at Piscataway, NEW JERSEY,  
this 20th day of May, 2002.

J. Junghyup Suh  
ED.B. JUNGHYUP SUH  
J.S.

STATE OF NEW JERSEY )  
 ) ss  
COUNTY OF Middlesex )

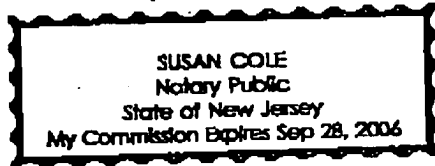
J. Junghyup Suh  
ED.B. JUNGHYUP SUH  
J.S. On May 20 before me, Junghyup Suh, personally appeared

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their

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Attorney Docket: 270/175

signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted,  
executed the instrument.

WITNESS my hand and official seal.



Susan Cole  
Notary Public in and for said County and State

Patent  
Attorney Docket: 270/175

**ASSIGNMENT OF PATENT APPLICATION**

WHEREAS, WE, EMANUEL DICICCO-BLOOM, a citizen of THE UNITED STATES OF AMERICA, ARNAUD NICOT, a citizen of FRANCE, NAIRU LU, a citizen of PEOPLE'S REPUBLIC OF CHINA, and JUNGHYUP SUH, a citizen of KOREA (hereinafter referred to as "ASSIGNORS"), have invented a certain invention entitled "Pituitary adenylate cyclase-activating polypeptide (PACAP) is an anti-mitogenic signal for selected neuronal precursors *in vivo*" for which application for Letters Patent of the United States of America has been filed on January 11, 2001, assigned Serial No. 10/044,722; and

WHEREAS, UNIVERSITY OF MEDICINE AND DENTISTRY OF NEW JERSEY, a body corporate and politic of the State of NEW JERSEY and having its principal place of business at 335 George Street, Suite 3200, New Brunswick, New Jersey 08901 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and

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Attorney Docket: 270/175

ASSIGNORS hereby authorize and request the United States Commissioner of Patents and Trademarks and any officials of foreign countries whose duty it is to issue patents or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at \_\_\_\_\_, NEW JERSEY,  
this \_\_\_\_ day of \_\_\_\_\_, 2002.

\_\_\_\_\_  
EMANUEL DICICCO-BLOOM

STATE OF NEW JERSEY                    )  
  ) ss  
COUNTY OF \_\_\_\_\_)

On \_\_\_\_\_ before me, \_\_\_\_\_, personally appeared  
EMANUEL DICICCO-BLOOM

☐ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me

LA-232665.1

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Patent  
Attorney Docket: 270/175

that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Public in and for said County and State

WITNESS my hand at \_\_\_\_\_, NEW JERSEY,  
this \_\_\_\_ day of \_\_\_\_\_, 2002.

\_\_\_\_\_  
ARNAUD NICOT

STATE OF NEW JERSEY )  
COUNTY OF \_\_\_\_\_ ) ss

On \_\_\_\_\_ before me, \_\_\_\_\_, personally appeared  
ARNAUD NICOT

☐ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Public in and for said County and State

Patent  
Attorney Docket: 270/175

WITNESS my hand at New York, ~~NEW JERSEY~~, <sup>YORK</sup>  
this May 21 day of May, 2002.

Nairu Lu  
NAIRU LU

STATE OF New York )  
~~NEW JERSEY~~ ) ss  
COUNTY OF New York )

On May 21, 2002 before me, LINDA A. STAITI, personally appeared  
NAIRU LU

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Linda A. Staiti  
Notary Public in and for said County and State  
LINDA A. STAITI  
Notary Public, State of New York  
No. 4963940  
Qualified in Westchester County,  
Certified in New York County,  
Commission Expires March 19, 2006

WITNESS my hand at \_\_\_\_\_, NEW JERSEY,  
this \_\_\_\_\_ day of \_\_\_\_\_, 2002.

HUNGHYUP SUH

STATE OF NEW JERSEY )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On \_\_\_\_\_ before me, \_\_\_\_\_, personally appeared  
HUNGHYUP SUH

☐ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their

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Attorney Docket: 270/175

signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted,  
executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Public in and for said County and State

